

Receipt

PATENT  
Docket No.: 57909/428



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants	:	Briles et al.	)	Examiner:
			)	N.M. Minnifield
Serial No.	:	09/298,523	)	
Cnfrm. No.	:	2114	)	Art Unit:
			)	1645
Filed	:	April 23, 1999	)	
For	:	PNEUMOCOCCAL SURFACE PROTEIN C (PspC),	)	
		EPITOPIC REGIONS AND STRAIN SELECTION	)	
		THEREOF, AND USES THEREFOR	)	

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REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Applicants hereby request a corrected filing receipt for the above-identified application. On the enclosed copy of the official filing receipt, there are errors in the both the Assignment for Published Patent Application data and in the Domestic Priority data.

The Assignment information reads "Nixon Peabody LLP" but should read "The UAB Research Foundation". A copy of the notice of recordation of assignment document is enclosed herewith.

In addition, the Domestic Priority data is incomplete. The Domestic Priority data should read "This appln is a CIP of 08/714,741 09/16/1996 PAT 6,500,613, which is a CIP of 08/529,055 09/15/1995. This appln also claims benefit from 60/082,728 04/23/1998". A copy of page 2 of the substitute specification for the continuing prosecution application as filed is enclosed herewith. (See: related applications/patents paragraph.)

Since Applicants are not responsible for this error, no fee is enclosed.

Respectfully submitted,

Dated: May 28, 2003

Alice Y. Choi  
Alice Y. Choi  
Registration No. 45,758

Nixon Peabody LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603-1051  
Telephone: (585) 263-1508  
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<b>Certificat of Mailing - 37 CFR 1.8(a)</b>	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed :	
Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450, on the date below.	
<u>May 28, 2003</u>	<u>Ruth R. Smith</u>
Date	Ruth R. Smith



57909/420

Commissioner for Patents  
Washington, DC 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/298,523	04/23/1999	1645	2060	454312-3140	50	27	1

CONFIRMATION NO. 2114

CORRECTED FILING RECEIPT



\*OC000000009252455\*

Michael L Goldman  
NIXON PEABODY LLP  
Clinton Square  
P O Box 31051  
Rochester, NY 14603

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Date Mailed: 12/17/2002

Receipt is acknowledged of a CPA in this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

DAVID E. BRILES, BIRMINGHAM, AL;  
SUSAN K. HOLLINGSHEAD, BIRMINGHAM, AL;  
ALEXIS BROOKS-WALTER, BIRMINGHAM, AL;

## Assignment For Published Patent Application

NIXON PEABODY LLP

## Domestic Priority data as claimed by applicant

☒ This appn claims benefit of 60/082,728 04/23/1998

## Foreign Applications

If Required, Foreign Filing License Granted: 05/12/1999

CPA filed on: 11/20/2002

Projected Publication Date: 03/27/2003

Non-Publication Request: No

Early Publication Request: No

The UAB Research Foundation

This application is  
CIP of 08/714,741

09/16/1996 PAT. 6,500,613

which is a CIP of

08/529,055

09/15/1995

and

**Title**

PNEUMOCOCCAL SURFACE PROTEIN C (PSPC), EPITOPIC REGIONS AND STRAIN  
SELECTION THEREOF, AND USES THEREFOR

**Preliminary Class**

424

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Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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JULY 21, 2001

PTAS

FROMMER LAWRENCE & HAUG LLP  
WILLIAM S. FROMMER, ESQ.  
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UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/30/2001

REEL/FRAME: 011765/0823  
NUMBER OF PAGES: 4

BRIEF: CORRECTED ASSIGNMENT TO CORRECT NAME AND ADDRESS OF ASSIGNEE, PREVIOUSLY RECORDED AT REEL/FRAME: 9920/0290. ASSIGNOR ASSIGNS ENTIRE INTEREST.

ASSIGNOR:  
BRILES, DAVID E.

DOC DATE: 04/23/1999

ASSIGNOR:  
HOLLINGSHEAD, SUSAN K.

DOC DATE: 04/23/1999

ASSIGNOR:  
BROOKS-WALTER, ALEXIS

DOC DATE: 04/23/1999

ASSIGNEE:  
UAB RESEARCH FOUNDATION, THE  
701 SOUTH 20TH STREET  
SUITE 1120G  
BIRMINGHAM, ALABAMA 35294-01111

SERIAL NUMBER: 09298523  
PATENT NUMBER:

FILING DATE: 04/23/1999  
ISSUE DATE:

FROMMER LAWRENCE & HAUG, LLP  
JUL 25 A 10 33



### TITLE OF THE INVENTION

***PNEUMOCOCCAL SURFACE PROTEIN C (PspC), EPITOPIC REGIONS AND STRAIN SELECTION THEREOF, AND USES THEREFOR***

### STATEMENT OF GOVERNMENT SUPPORT

[0001] This work was supported in part by National Institute of Health Grants AI21548 and HL58418.

### RELATED APPLICATIONS/PATENTS

[0002] This application is a continuation-in-part ("CIP") of U.S. application Serial No. 08/714,741, filed September 16, 1996, (allowed), which is a CIP of U.S. application Serial No. 08/529,055, filed September 15, 1995. This application is also based upon and claims priority from U.S. Provisional application Serial No. 60/082,728, filed April 23, 1998.

[0003] Reference also is made to: Briles et al., "Strain Selection of Pneumococcal Surface Proteins," U.S. application Serial No. 08/710,749, filed September 20, 1996, now U.S. Patent No. 5,955,089; PCT applications PCT/US96/14819, filed September 16, 1996 and WO 97/09994, published March 20, 1997; Briles et al. "Oral Administration ...," U.S. application Serial No. 08/482,981, filed June 7, 1995, now U.S. Patent No. 6,232,116, U.S. application Serial No. 08/458,399, filed June 2, 1995, now U.S. Patent No. 6,231,870 and U.S. application Serial No. 08/657,751, filed May 30, 1996, now U.S. Patent No. 6,004,802; "Mucosal Administration ...," Briles et al., U.S. application Serial No. 08/446,201, filed May 19, 1995, now U.S. Patent No. 6,042,832 (filed as a CIP of USSN 08/246,636, filed May 20, 1994, now U.S. Patent No. 5,965,141) and Briles et al., U.S. application Serial No. 08/312,949, filed September 30, 1994, now U.S. Patent No. 6,027,734; Briles et al., "Epitopic Regions of Pneumococcal Surface Protein A," U.S. application Serial No. 08/319,795, filed May 20, 1994 now U.S. Patent No. 5,980,909; Briles et al., "Structural Gene of Pneumococcal Protein", U.S. application Serial No. 08/467,852, filed June 6, 1995, now U.S. Patent No. 5,856,170 (filed as a cont. of U.S. application Serial No. 08/247,491, filed May 23, 1994, now U.S. Patent No. 5,965,400), U.S. application Serial No. 08/072,070, filed June 3, 1993, now U.S. Patent No. 5,476,929, U.S. application Serial No. 08/469,434, filed June 6, 1995, now U.S. Patent No. 5,753,463 and U.S. application Serial No. 08/214,164, filed March 14, 1994, now U.S. Patent No. 5,728,387; Briles et al., "Truncated PspA ...," U.S. application Serial No. 08/214,222, filed March 17, 1994, now

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Bib Data Sheet

CONFIRMATION NO. 2114

<b>SERIAL NUMBER</b> 09/298,523	<b>FILING DATE</b> 04/23/1999 <b>RULE</b>	<b>CLASS</b> 424	<b>GROUP ART UNIT</b> 1645	<b>ATTORNEY DOCKET NO.</b> 454312-3140
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## APPLICANTS

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 ALEXIS BROOKS-WALTER, BIRMINGHAM, AL;

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## \*\* CONTINUING DATA \*\*\*\*\*

This application is a CIP of 08/714,741 09/16/1996 PAT 6,500,613  
 which is a CIP of 08/529,055 09/15/1995  
 This application 09/298,523  
 claims benefit of 60/082,728 04/23/1998

## \*\* FOREIGN APPLICATIONS \*\*\*\*\*

## IF REQUIRED, FOREIGN FILING LICENSE GRANTED

\*\* 05/12/1999

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY AL	SHEETS DRAWING 50	TOTAL CLAIMS 27	INDEPENDENT CLAIMS 1
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature	Initials		

## ADDRESS

Michael L Goldman  
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 Rochester, NY 14603

## TITLE

PNEUMOCOCCAL SURFACE PROTEIN C (PSPC), EPITOPIC REGIONS AND STRAIN SELECTION THEREOF, AND USES THEREFOR

<b>FILING FEE RECEIVED</b> 2060	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
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		<input type="checkbox"/> 1.18 Fees ( Issue )
		<input type="checkbox"/> Other _____
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